



**EPA Region 1
McCormack Federal Building
EMS Procedure
FY 2012**

4.5.5 Internal Audit

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Title: EMS Coordinator

Document location: The official controlled version of this document is the electronic version maintained on-line in the Lotus Notes Database.

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1.0 Purpose

- 1.1 This procedure covers internal Environmental Management System (EMS) audits for EPA's Boston Office. Qualified auditors will conduct periodic EMS audits EPA NE Boston Office EMS. The audit will review EMS documentation, implementation and maintenance and identify any deficiencies. Auditors will base all findings resulting from the audit on objective evidence that is properly corroborated and authenticated.

2.0 Scope

- 2.1 This procedure generally applies to all environmental aspects within the scope of Boston Office's EMS. The scope also covers objectives and targets that apply to the Boston Office's significant environmental aspects and to other elements of the EMS such as training, auditing and employee awareness.

3.0 Definitions

- 3.1 For definitions of common terms for EPA-NE Boston Office EMS procedures, refer to EMS document EMS Definitions.

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4.0 Approach

- 4.1 The purpose of the EMS audit is to make sure the Boston Office has effectively designed and implemented its EMS. A particular audit may focus on either design or implementation, or both.
- 4.2 The Regional EMS Executive (REE) and the EMS Board of Directors will make adequate resources available for the audit. The REE and EMS Board review audit findings presented by the Director of OARM and approve any corrective and preventive actions.
- 4.3 EMS Coordinator will schedule audits at least annually. The audit scope may be a targeted selection of EMS elements, or organizational activities based on their importance or results of previous audit findings. At a minimum, audits should cover each element of the EMS every three years.
- 4.4 Qualified and trained auditors will form the audit team. A lead auditor will be responsible for audit team orientation, coordinating the audit and preparing the audit report.
- 4.5 The audit team will prepare an EMS audit plan prior to the audit. The audit plan should include the following information:
 - 4.5.1 Audit scope and objectives as determined by the EMS Coordinator with the approval of the Director of OARM;
 - 4.5.2 Audit criteria to be applied;
 - 4.5.3 Contacts and coordination with the auditee;
 - 4.5.4 Audit logistics including time, place, and participants;
 - 4.5.5 Review of previous audits; Audit checklist to be used for the audit; and
 - 4.5.6 Responsibilities for writing the audit report and follow up actions.
- 4.6 As part of the audit process, the audit team may conduct interviews with personnel, review records and documentation to verify the functions of the EMS.
- 4.7 ISO Standard 19011 B "Guidelines for Quality and/or Environmental Management Systems Auditing" will guide the audit team in their conduct of EMS audits.

5.0 Responsibilities

- 5.1 The Regional EMS Executive and the Office Directors, acting as the EPA-NE EMS Board of Directors, have the following EMS Audit responsibilities:
 - 5.1.1 assuring adequate resources to complete Auditing and Corrective and Preventive Action;
 - 5.1.2 reviewing audit findings on EMS nonconformance as presented by the EMS

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Coordinator and the Director of OARM; and

5.1.3 approving any corrective and preventive actions.

5.2 The Lead Auditor is responsible for:

5.2.1 with the Director of OARM, selecting a team of qualified auditors;

5.2.2 notifying, organizing, planning, training, and directing the audit team prior to and during the EMS audit;

5.2.3 scheduling and facilitating all audit team meetings which consist of the opening, closing and any briefing meetings required; preparing the final audit report and summary of findings;

5.2.4 review of audit findings with the EMS Coordinator and Director of OARM.

5.3 The Audit Team is responsible for:

5.3.1 collecting, analyzing and documenting objective evidence through interviews;

5.3.2 document examination and visual observation during the audit investigation;

5.3.3 recording their observations and findings and assist the lead auditor in the preparation of the audit report.

5.4 The EMS Coordinator is responsible for:

5.4.1 setting the scope and objectives of the audit;

5.4.2 designating the Lead Auditor;

5.4.3 review of audit findings with the audit team, Director of OARM, affected managers

5.4.4 proposing appropriate corrective and preventive actions in accordance with the procedure for Nonconformance, Corrective and Preventive Action;

5.4.5 reporting audit findings to the EPA-NE EMS Board of Directors and obtaining the Board's concurrence if appropriate on any corrective actions needed to correct EMS nonconformance;

5.4.6 monitoring completion of appropriate corrective and preventive actions in accordance with the EMS Procedure for Nonconformance, Corrective and Preventive Actions; and

5.4.7 providing the EMS audit report and findings to the Document Control Manager.

5.5 The EMS Document Control Manager is responsible for maintaining the EMS Audit Report and Findings in accordance with the EMS Procedure 4.5.30-P1, EMS Records.

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6.0 Records and Related Documents

- 6.1 EPA NE EMS Audit Checklist (informational only)
- 6.2 EPA NE Internal Auditor Training Program (informational only)
- 6.3 EMS Audit Plan (informational only)
- 6.4 EMS Audit Reports and Findings (Record)
- 6.5 ISO Standard 19011 B Guidelines for Quality and/or Environmental Management Systems Auditing (informational only)

7.0 Distribution

- 7.1 The EMS Core Team's documentation lead has placed the most current version this procedure in an electronic repository. It is available electronically to users of the EPA Regional 1 intranet. Procedures are subject to revision. The EPA Intranet EMS Page (<http://r1-gis-web.r1.epa.gov:9876/oarm/ems/index.html>) has a link to the latest version.